

EXHIBIT 9
(Dec. 31, 2020 Email)

Message

From: Severson, Andrea [REDACTED]@equiniti.com]
Sent: 12/31/2020 8:47:28 PM
To: Atkins, Lisa [/o=ExchangeLabs/ou=Exchange Administrative Group (FYDIBOHF23SPDLT)/cn=Recipients/cn=a151b378da5d47719831ce4cc088084e-Atkins, Lis]; Becker, David [REDACTED]@equiniti.com]; Le Gower, Donald [/o=ExchangeLabs/ou=Exchange Administrative Group (FYDIBOHF23SPDLT)/cn=Recipients/cn=38a7286c978c45a3ae4def27b05856b9-Le Gower, D]; Pennings, Jamae [REDACTED]@equiniti.com]
CC: Elsevier, Patrick [/o=ExchangeLabs/ou=Exchange Administrative Group (FYDIBOHF23SPDLT)/cn=Recipients/cn=9199e842b4ef47db86b40b595f1a21d3-Elsevier, J]; Kelly, Katherine [/o=ExchangeLabs/ou=Exchange Administrative Group (FYDIBOHF23SPDLT)/cn=Recipients/cn=d56bc5a290994cdf859321b71bf0c93a-Kelly, Kath]
Subject: RE: Bristol-Myers CVRs

[Use CAUTION when opening links/attachments]

Hi Lisa,

Outstanding CVR's as of 12/30/2020 – 743,911,635.

Thanks,
 Andrea

Andrea Severson
 VP, Relationship Manager

EQ Shareowner Services | 1110 Centre Pointe Curve, Suite 101 | Mendota Heights, MN 55120
 T [REDACTED] | M [REDACTED] | E [REDACTED]@equiniti.com



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Please forward this email to the backup contact listed in this out of office if any information contained in this email requires a notification to DTC pursuant to SEC regulation 40.17Ad-16 (SEC regulation 240.17Ad-16 requires transfer agents to notify the appropriate qualified registered securities depository on or before the later of 10 calendar days prior to the effective date of a change in status or the day the transfer agent is notified of the effective date of a change in status or the effectiveness of a corporate action event).

From: Atkins, Lisa <[REDACTED]@bms.com>
Sent: Thursday, December 31, 2020 2:19 PM
To: Becker, David <[REDACTED]@equiniti.com>; Le Gower, Donald <[REDACTED]@bms.com>; Pennings, Jamae <[REDACTED]@equiniti.com>; Severson, Andrea <[REDACTED]@equiniti.com>
Cc: Elsevier, Patrick <[REDACTED]@bms.com>; Kelly, Katherine <[REDACTED]@bms.com>
Subject: RE: Bristol-Myers CVRs

Hi David – we got a copy of the document and are reviewing. Can you or Andrea please remind us how many CVRs are outstanding?

Thanks,
 Lisa

From: Atkins, Lisa

Sent: Thursday, December 31, 2020 1:47 PM

To: Becker, David <[REDACTED]@equiniti.com>; Le Gower, Donald <[REDACTED]@bms.com>; Pennings, Jamae <[REDACTED]@equiniti.com>

Cc: Elsevier, Patrick <[REDACTED]@bms.com>; Kelly, Katherine <[REDACTED]@bms.com>

Subject: RE: Bristol-Myers CVRs

Thanks, David. No worries – I am on my way to the NYO office to pick up our copy.

From: Becker, David <[REDACTED]@equiniti.com>

Sent: Thursday, December 31, 2020 1:42 PM

To: Atkins, Lisa <[REDACTED]@bms.com>; Le Gower, Donald <[REDACTED]@bms.com>; Pennings, Jamae <[REDACTED]@equiniti.com>

Cc: Elsevier, Patrick <[REDACTED]@bms.com>; Kelly, Katherine <[REDACTED]@bms.com>

Subject: Re: Bristol-Myers CVRs

[Use CAUTION when opening links/attachments]

They are all paper documents, which I had them deliver to my home. Unfortunately, from here I can't scan this quantity. They did tell me they are hand delivering a set to Bristol-Myers at the 29th Street address, attention Executive Vice President, General Counsel.

David

David L. Becker
Equiniti Trust Company
General Counsel
Chief Risk and Compliance Officer
275 Madison Avenue, 34th Floor, NY, NY 10016
M [REDACTED] | E [REDACTED]@equiniti.com

PLEASE NOTE NEW ADDRESS

From: Atkins, Lisa <[REDACTED]@bms.com>

Sent: Thursday, December 31, 2020 1:38:58 PM

To: Becker, David <[REDACTED]@equiniti.com>; Le Gower, Donald <[REDACTED]@bms.com>; Pennings, Jamae <[REDACTED]@equiniti.com>

Cc: Elsevier, Patrick <[REDACTED]@bms.com>; Kelly, Katherine <[REDACTED]@bms.com>

Subject: RE: Bristol-Myers CVRs

Thanks, David. Is your office able to share a pdf of the documents?

I will allow my colleagues to comment as well, but we would look to EQ as current Trustee for final confirmation regarding the majority ownership needed to change the Trustee. If EQ is comfortable moving forward, we will provide our sign-off for distributing the notice to holders noting the change.

Thanks,
Lisa

From: Becker, David <[REDACTED]@equiniti.com>

Sent: Thursday, December 31, 2020 1:33 PM

To: Atkins, Lisa <[REDACTED]@bms.com>; Le Gower, Donald <[REDACTED]@bms.com>; Pennings, Jamae

<[REDACTED]@equiniti.com>

Cc: Elsevier, Patrick <[REDACTED]@bms.com>; Kelly, Katherine <[REDACTED]@bms.com>

Subject: Re: Bristol-Myers CVRs

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I just received it. Exhibit A are brokerage statements documenting holdings. They appear to confirm ownership of a majority of CVRs by parties who signed the Instrument of Removal.

Please let me know how you want to proceed from here.

Thanks,

David

David L. Becker
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PLEASE NOTE NEW ADDRESS

From: Atkins, Lisa <[REDACTED]@bms.com>

Sent: Thursday, December 31, 2020 12:31:57 PM

To: Becker, David <[REDACTED]@equiniti.com>; Le Gower, Donald <[REDACTED]@bms.com>; Pennings, Jamae <[REDACTED]@equiniti.com>

Cc: Elsevier, Patrick <[REDACTED]@bms.com>; Kelly, Katherine <[REDACTED]@bms.com>

Subject: RE: Bristol-Myers CVRs

Thanks David,

They shared these with us as well. Ostensibly, the relevant proof document, Exhibit A was too large to share so we will have to wait for the messenger delivery before we can review. Please let us know when you receive the Exhibit A and we will do same.

Thanks,

Lisa

From: Becker, David <[REDACTED]@equiniti.com>

Sent: Thursday, December 31, 2020 12:28 PM

To: Atkins, Lisa <[REDACTED]@bms.com>; Le Gower, Donald <[REDACTED]@bms.com>; Pennings, Jamae <[REDACTED]@equiniti.com>

Subject: Fwd: Bristol-Myers CVRs

[Use CAUTION when opening links/attachments]

FYI

David L. Becker
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PLEASE NOTE NEW ADDRESS

From: Wilkinson, Gavin <[REDACTED]@umb.com>
Sent: Thursday, December 31, 2020 12:24:00 PM
To: Becker, David <[REDACTED]@equiniti.com>
Cc: Vitale, Tina F. <[REDACTED]@umb.com>; Hor-Chen, Stephanie <[REDACTED]@katten.com>
Subject: RE: Bristol-Myers CVRs

David, due to the size of the main file, we are delivering by courier. The cover letter and other supporting information is attached.

Gavin Wilkinson | Senior Vice President | Corporate Trust
Pronouns he/him/his

UMB Bank | 120 South Sixth Street, Suite 1400 | Minneapolis, MN 55402
[REDACTED] | [REDACTED]@umb.com | umb.com

Celebrating **75 years of commitment and service** to you in Corporate Trust and Escrow Agent Services

From: Becker, David <[REDACTED]@equiniti.com>
Sent: Thursday, December 31, 2020 10:54 AM
To: Wilkinson, Gavin <[REDACTED]@umb.com>
Cc: Vitale, Tina F. <[REDACTED]@umb.com>; Hor-Chen, Stephanie <[REDACTED]@katten.com>
Subject: Re: Bristol-Myers CVRs

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Gavin,

Is there any way to email it?

David

David L. Becker
Equiniti Trust Company
General Counsel
Chief Risk and Compliance Officer
275 Madison Avenue, 34th Floor, NY, NY 10016
M [REDACTED] | E [REDACTED]@equiniti.com

PLEASE NOTE NEW ADDRESS

From: Wilkinson, Gavin <[REDACTED]@umb.com>
Sent: Thursday, December 31, 2020 11:49:03 AM
To: Becker, David <[REDACTED]@equiniti.com>
Cc: Vitale, Tina F. <[REDACTED]@umb.com>; Hor-Chen, Stephanie <[REDACTED]@katten.com>
Subject: RE: Bristol-Myers CVRs

I think we're hand delivering your copy today. The copy for the home office will be sent overnight. We weren't able find a courier who could print and deliver today.

Have a great New Year.

Gavin

Gavin Wilkinson | Senior Vice President | Corporate Trust

Pronouns he/him/his

UMB Bank | 120 South Sixth Street, Suite 1400 | Minneapolis, MN 55402

[REDACTED] | [REDACTED]@umb.com | umb.com

Celebrating **75 years of commitment and service** to you in Corporate Trust and Escrow Agent Services

From: Becker, David <[REDACTED]@equiniti.com>

Sent: Thursday, December 31, 2020 10:44 AM

To: Wilkinson, Gavin <[REDACTED]@umb.com>

Cc: Vitale, Tina F. <[REDACTED]@umb.com>; Hor-Chen, Stephanie <[REDACTED]@katten.com>

Subject: RE: Bristol-Myers CVRs

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That would be great. Thanks!

David L. Becker

Equiniti Trust Company

General Counsel

Chief Risk and Compliance Officer

275 Madison Avenue, 34th Floor, NY, NY 10016

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www.equiniti.com

PLEASE NOTE NEW ADDRESS

From: Wilkinson, Gavin <[REDACTED]@umb.com>

Sent: Thursday, December 31, 2020 10:58 AM

To: Becker, David <[REDACTED]@equiniti.com>

Cc: Vitale, Tina F. <[REDACTED]@umb.com>; Hor-Chen, Stephanie <[REDACTED]@katten.com>

Subject: RE: Bristol-Myers CVRs

David,

We have compiled the information and will deliver it to your office and to Bristol Myers today. Do you want us also to deliver a copy to the Mendota Heights office?

Gavin

Gavin Wilkinson | Senior Vice President | Corporate Trust

Pronouns he/him/his

UMB Bank | 120 South Sixth Street, Suite 1400 | Minneapolis, MN 55402
[REDACTED] | [REDACTED]@umb.com | umb.com

Celebrating **75 years of commitment and service** to you in Corporate Trust and Escrow Agent Services

From: Becker, David <[REDACTED]@equiniti.com>
Sent: Thursday, December 31, 2020 9:17 AM
To: Wilkinson, Gavin <[REDACTED]@umb.com>
Subject: RE: Bristol-Myers CVRs
Importance: High

This is an EXTERNAL email. Do not open attachments or click on links unless you have confirmed the identity of the sender.

Gavin,

Do you have the documentation verifying that a majority of the holders have approved the change in Trustee? We do want to move forward, but need this to do so.

Thank you,

David

David L. Becker
Equiniti Trust Company
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Chief Risk and Compliance Officer
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M [REDACTED] | E [REDACTED]@equiniti.com



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PLEASE NOTE NEW ADDRESS

From: Becker, David
Sent: Monday, December 28, 2020 4:47 PM
To: Wilkinson, Gavin <[REDACTED]@umb.com>
Subject: Bristol-Myers CVRs

Gavin,

Thank you for speaking with me a little while ago. As we discussed, in order for the new Trustee to be put in place we need to be able to confirm that the Pentwater proposal has actually achieved 50% plus 1 approval as required. You have advised me that UMB is working with Okapi Partners to provide the documentation needed to confirm the approval.

Once we receive that confirmation, we will provide the notice to holders required.

Please keep me updated.

Thank you,

David

David L. Becker
Equiniti Trust Company
General Counsel
Chief Risk and Compliance Officer
275 Madison Avenue, 34th Floor, NY, NY 10016
M [REDACTED] | E [REDACTED]@equiniti.com



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